



Construction Policy Bulletin

CPB 06-6 Executed Contract Change Order Copy Distribution

References: *Standard Specifications* Section 4-1.03, "Changes"
Construction Manual Section 5-312, "Copy Distribution"

Effective Date: November 20, 2006

Approved:

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Chief
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Background

The Division of Construction continually seeks to modernize, improve, and streamline its administrative processes, procedures and practices to support the Caltrans mission.

One result of this innovation effort was the elimination of duplicate filing of project information. Districts now maintain one official file of construction project records for each contract.

Another innovation is the automation of contract change order document transfer between the districts and the Division of Construction. This was first initiated through the transfer of information using electronic mail and attached files. Under this newest innovation initiative, each district was provided with a high speed document scanner to electronically transmit contract change order documents to the Division of Construction file server.

Existing Procedure

Section 5-312, "Copy Distribution," of the *Construction Manual* contains requirements for sending copies of approved contract change orders to the Division of Construction.

New Procedure

For all contracts, one copy of each executed authorization to proceed, contract change order, and corresponding memorandum is electronically scanned and transmitted to the Division of Construction file server.

Combine each executed authorization to proceed or contract change order and contract change order memorandum for each contract change, supplemental change, and authorization to proceed into a single Adobe Acrobat file using the following filename convention:

Filename Convention

Contract No. CCO No. or ATP No. Supplemental No. Approval Date

Examples

04-012024_ATP_002_S00_11-20-06.pdf

04-012024 CCO 002 S02 11-27-06.pdf

Transmit the file directly to the Division of Construction file server using the centralized access provided to each district. Transmissions of approved contract change orders will occur at a minimum of once a month.

Send an email notification to the contract change order engineer upon transfer of any information to the Division of Construction file server.

A desk guide to assist districts with this new process is available on Division of Construction's intranet web page at:

<http://pd.dot.ca.gov/construction/contractmanagement/cmpage.htm>.

For full federal oversight projects (federal number with "N" designation), districts are delegated authority to send one copy of each executed contract change order and corresponding contract change order memorandum directly to the Federal Highway Administration (FHWA) field operations engineer assigned to the district or program administering the contract. The method of document transfer to the FHWA field operations engineer will be negotiated between the district and the FHWA field operations engineer on a case by case basis. The Division of Construction will no longer provide this information to the FHWA field operation engineer on the behalf of the districts.

The FHWA field operations engineer:

- May issue a determination of funding ineligibility or modify the level of funding participation for any reviewed change order.
- Will communicate all funding eligibility findings by stamping the contract change order and returning it to the district,
- Notify districts of all changes in federal participation prior to issuance of a final voucher

Districts are responsible for updating the Contract Administration System for federal participation information on the contract change orders.

November 17, 2006

Page 3

If you have questions regarding this bulletin, please contact Michael Kissel, Chief, Office of Contract Administration by email at Michael_Kissel@dot.ca.gov or by telephone at (916) 654-2467.